

Administrative & Fiscal Requirements for Grantees

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Topics

- Grant Reporting Requirements
- Budget Modifications / Continuations / Carryovers / Extensions
- Web Sites
- Grants Management Contacts
- Open Discussion & Questions



Financial Reporting Requirements

- Financial Status Reports (SF-269's) are due 30 days after the end of the second and fourth quarters of the budget period (every six months).
 - Start date: 7/30
 - Budget Period: 7/30-7/29
 - 1st Report: Due 2/28 (covers 7/30-1/31)
 - 2nd Report: Due 8/31 (covers 2/1-7/29)

A final SF-269 is due 90 days after the end of the project period. This financial status report and the Payment Management System (PMS) expenditures report for the reporting period must reconcile. For the report to be considered final, all unliquidated obligations must have been paid and \$-0- entered on line 10(k) of the final Financial Status Report.

The Federal Grant Award number should be indicated on all reports.



Submit the original and two copies of the Financial Status Reports to:

Mailing Address

Attention: [Name of Grants Management Specialist]

U.S. Department of Health and Human Services

Administration for Children and Families

Office of Grants Management

Division of Discretionary Grants

6th Floor East

370 L'Enfant Promenade, S.W.

Washington, D.C. 20447



Program Progress Reports

- Program Progress Reports are due 30 days after the end of each quarter of the budget period (every three months).
 - 1st Report: Due 11/30 (covers 7/30 10/31)
 - 2nd Report: Due 2/28 (covers 11/1 1/31)
 - 3rd Report: Due 5/31 (covers 2/1 4/30)
 - 4th Report: Due 8/31 (covers 5/1 7/29)
- A final Program Progress Report is due 90 days after the end of the project period.



Program Progress Reports – Content

- Status of Project
- Status of Meeting Goals
- Problems Encountered and Plans for Resolving Them
- Personnel Changes
- Financial Management



Budget Modifications

- Report any modifications of the budget and program activities as outlined in the original application.
- Written prior approval is necessary for:
 - Extension of budget and or project period.
 - Change in scope of work or objectives of the project (even if the budget does not change)
 - Change in the Project Director (PD) or Principle Investigator (PI) or other key personnel specified in the grant application
 - Absence for more than 3 months or 25% reduction in time devoted to the project by the PD, or PI.
 - Foreign Travel
 - Transfer of Training Funds
 - Same rules apply to sub-grantees!



Budget Revisions

- Cover Letter Signed by Authorizing Official
 - Provide the amount of the request. If you are writing to inform ACF of a budget revision that does not require prior approval, clearly indicate that the funds will be used to complete activities which have already been approved. If you are writing to request a budget revision that includes a change in scope of activities, clearly indicate the proposed activities. Requests must be initiated prior to the end of the budget period for which you are requesting the revision.
- 424a Complete the form in its entirety:
- Budget and Budget Narrative:
 - The Budget should be in a spreadsheet or table format. Both the federal and non-federal budget items should be clearly marked. When making your budget, reflect the budget categories outlined in the 424a (i.e. Personnel, Benefits, Travel, Equipment, Supplies, Contractual, Other, Indirect Costs) and identify all line items within each category. Be specific and comprehensive.
 - The Budget Narrative is a justification supporting the need to expend funds for items in your spreadsheet or table format budget. It should provide a clear description of how the budget items directly relate to the overall completion and success of the project.



Continuations

What needs to be submitted:

- SF-424 Application for Federal Assistance
- SF-424A Budget Information Non-Construction Programs
- SF-424B Assurances Non-Construction Programs
- Lobbying Certification If Applicable
- Program Narrative
- Budget Justification / Narrative
- Outstanding Program and Financial Reports



Checklist for Continuation Applications

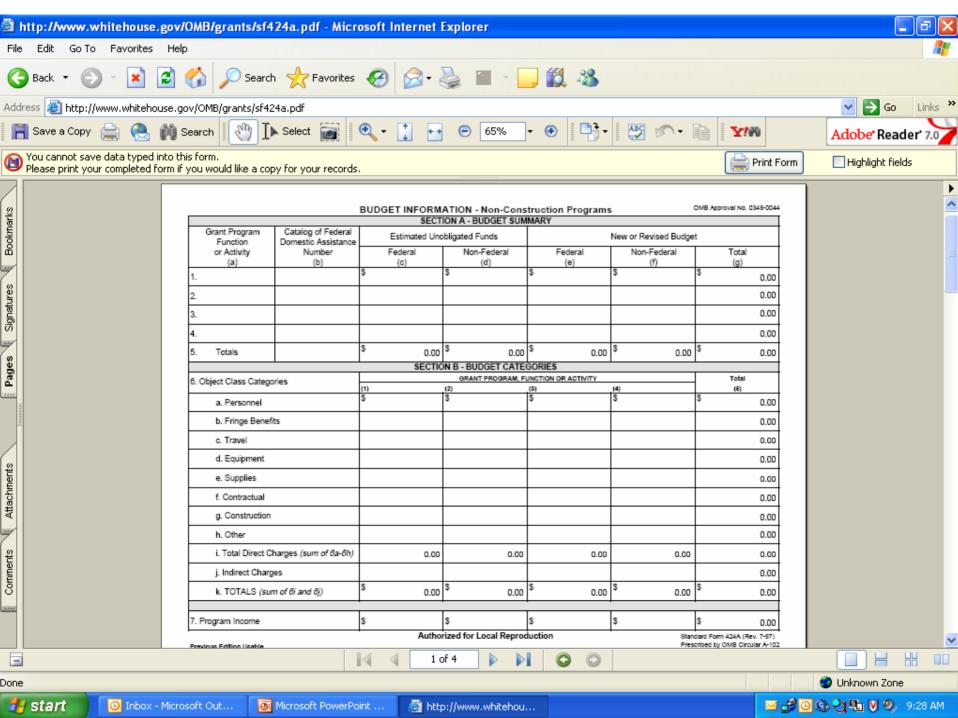
- SF-424 Application for Federal Assistance
 - Make sure grant award number is listed in the "Federal Identifier" block. Grant award number can be found in the upper right corner of the enclosed letter.
 - Make sure "Applicant Information" is current and accurate, including DUNS number. Project contact should be the person responsible for the day-to-day operations and overall success of the project.
 - Check "continuation" in Block 2. Indicate in Block 19 whether or not your continuation application was reviewed in accordance with the intergovernmental review process.
 - Block 18 must include your federal funding and non-federal sources of funding.
 - Make sure the entire form is completed, signed, and dated.
- SF-424A Budget Information Non-Construction Programs
 - In Section A, column (e) indicate federal costs in each applicable object class category. In column (f) indicate non-federal costs in each applicable object class category. In column (g) indicate the total.
 - In Section F, Line 22, state the type of indirect cost rate (e.g., provisional, fixed, etc) and provide computation (i.e., base X rate = total indirect expense).
- SF-424B Assurances Non-Construction Programs
 - Make sure the form is signed and dated.
- Lobbying Certification
 - If applicable, make sure the form is signed.
 - <u>If not applicable</u>, indicate not applicable on form and return with package.

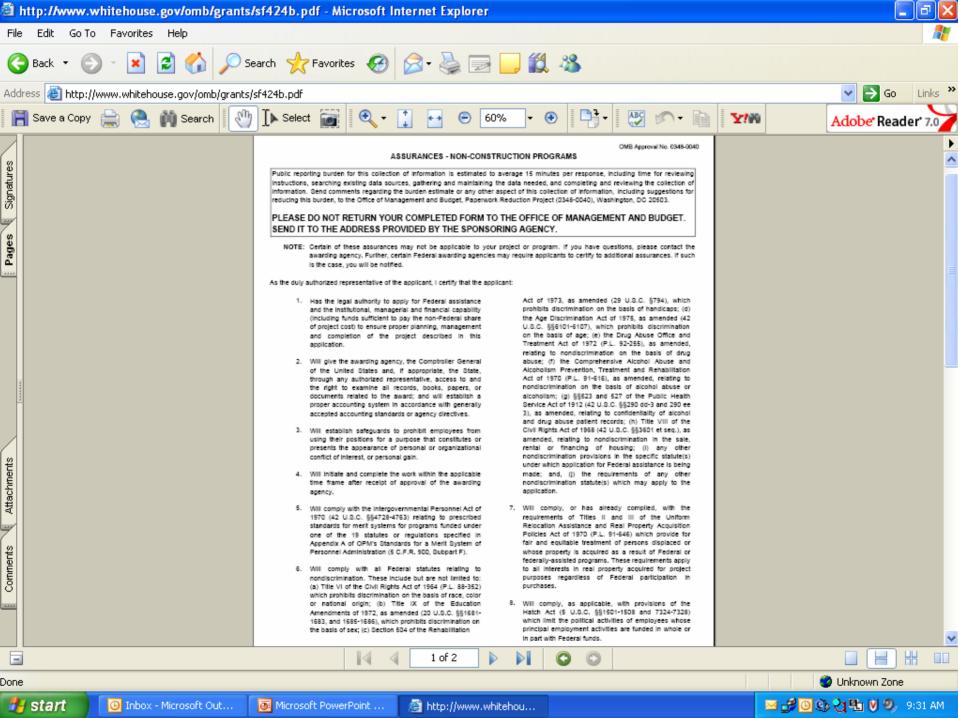


SF-424 V2

Link to the New Form SF-424 V.2

http://www.acf.hhs.gov/programs/ofs/g rants/sf424v2.pdf







Lobbying Certification

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements The undersigned certifies, to the best of his or her knowledge and belief, that: (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, ``Disclosure Form to Report Lobbying," in accordance with its instructions. (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. Statement for Loan Guarantees and Loan Insurance The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, ``Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature		
Title		
Organization		



Carryovers

- Must be used to complete unmet objectives from the previous year.
 - No new activities.
- Requests should be submitted with the SF-269 due
 30 days after the end of the previous budget period.
 - However, no limitations exist on when requests can come in.
 - Reasonableness.

Carry Over Requests

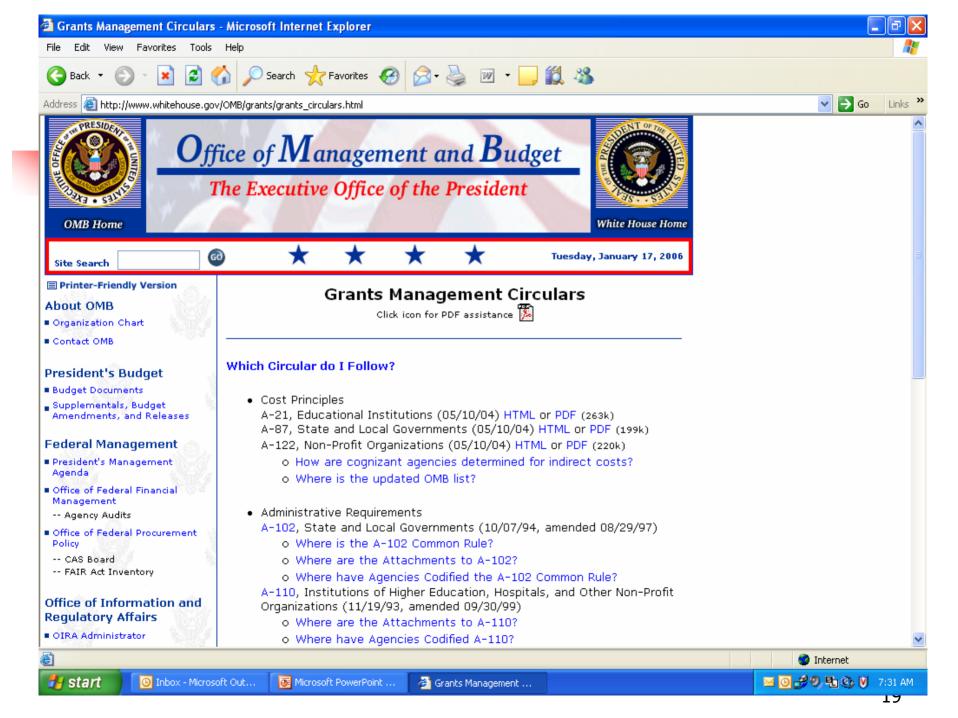
- Cover Letter
 - Provide the amount of the requested carryover. Include unexpended federal funds as well as any non-federal matching funds that were not committed during the budget year. Only include the amount you are requesting, do not include your third year budget amount. Also, clearly indicate that the funds will be used to complete activities which were approved, but not completed by midnight on September 29 as allocated in the final budget of record for the budget period.
 - 424 Complete the form in its entirety, giving special attention to the following:
 - Include the Federal Identifier, which is your grant number.
 - The name of the person to be contacted on matters involving this application should be the person responsible for the day-to-day operation of the project.
 - Select Revision as the Type of Application (#2).
 - Complete the Federal, Applicant, and Total Funding figures (#18).
 - Provide the original signature of the Authorized Representative (#21).
- 424a Complete the form in its entirety, giving special attention to the following:
 - Including only the carryover request only
 - Section A columns a, b, e, f, g
 - Section B columns 1 (federal), 2 (non-federal), and 5 (total)
- Budget and Budget Narrative:
 - The Budget should be in a spreadsheet or table format. Both the federal and non-federal budget items should be clearly marked. When making your budget, reflect the budget categories outlined in the 424a (i.e. Personnel, Benefits, Travel, Equipment, Supplies, Contractual, Other, Indirect Costs) and identify all line items within each category. Be specific and comprehensive.
 - The Budget Narrative is a justification supporting the need to allocate funds for items in your spreadsheet or table format budget. It should provide a clear description of how the budget items directly relate to the overall success of the project.

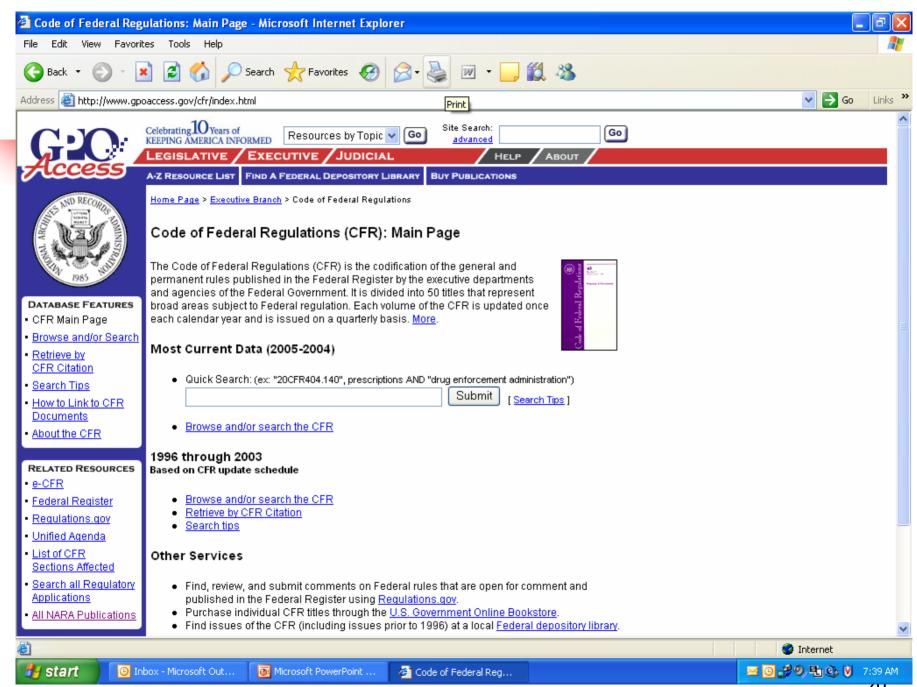


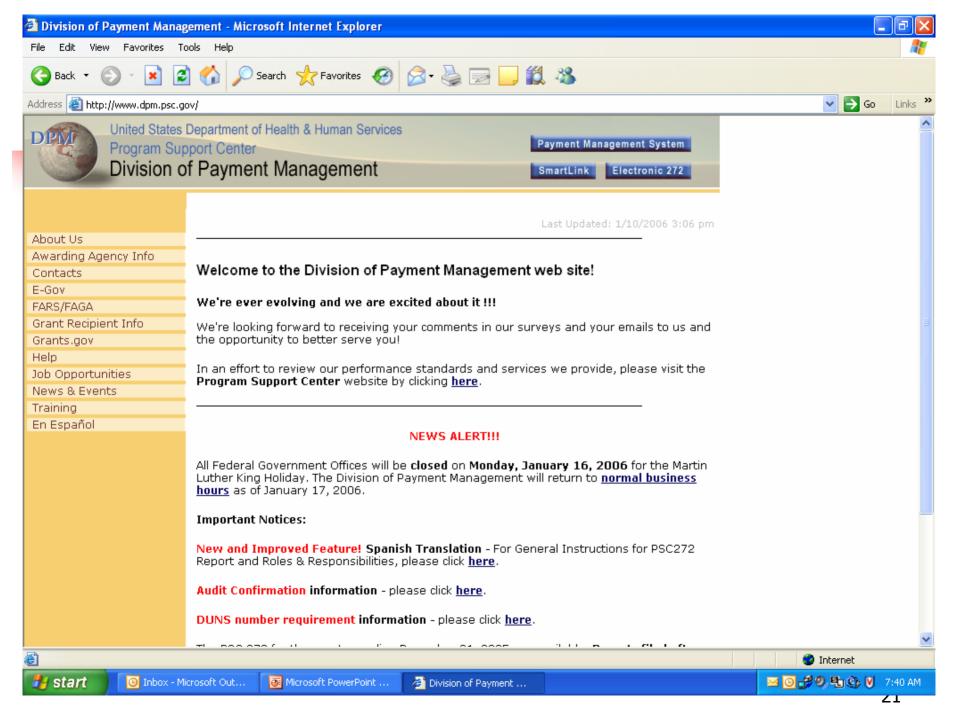
No-cost Extensions

- Normally requested to complete activities of the grant.
- Requests <u>must</u> be in prior to the end of the Project Period.
- No Cost Extensions are not permitted to merely use unobligated balances.
- Are one time extensions of the expiration date up to 12 months.
- You must provide a "<u>letter of justification</u>" providing us with the time needed for the No Cost Extension <u>signed by the authorized official</u> (person who signed <u>424</u>)
- May not permit any budget changes in a recipient's award that caused any FEDERAL APPROPRIATION to be used for purposes other than those consistent with the <u>original award/purpose</u> of the authorization and appropriation.
- Can run concurrently with "new" awards
 - Must maintain separate accounting











Grants Management Contacts

■ The Grants Management Specialist identified on your FAA should be called on all financial and non-programmatic aspects of the Grants.

LaSandra Brown	1-20	(202) 205-8549
Ruth Hopkins	21-65	(202) 260-6819
Theresa Hall	66-140	(202) 401-5402
Darlene Langston	141-181	(202) 401-5540
Lydia Pilgrim	182-211	(202) 401-4648
Lisa Ensley	212-221	(202) 260-5623



Questions and answers... Thank You!